

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

Baldrige et al.

Serial No.: 09/948,457

Filed: September 7, 2001

For: BIOFILM REDUCTION IN
CROSSFLOW FILTRATION SYSTEMS

)
) Group Art Unit: 1724

)
) Examiner: Chester T. Barry

REVOCATION AND POWER OF ATTORNEY AND

CERTIFICATE UNDER 37 C.F.R. 3.73(b)

Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

The assignee of record of the entire interest of the above-identified application hereby revokes all previous appointments of power of attorney and hereby appoints the registered practitioners at Customer No. 34313:



34313

PATENT TRADEMARK OFFICE

Orrick, Herrington & Sutcliffe, LLP
4 Park Plaza, Suite 1600
Irvine, California 92614-2558
Tel.: (949) 567-6700

as its attorneys/agents with full power of substitution and revocation to prosecute this application, to transact all business in the Patent and Trademark Office, in connection therewith, and to receive any Letters Patent.

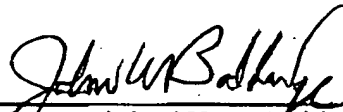
Please send all correspondence to the attention of Charles C. Fowler, at the above Customer Number and address, and direct all telephone calls to **(949) 567-6700**.

Advanced Biocatalytics Corporation, a corporation organized and existing under and by virtue of the laws of the State of California, certifies that it is the assignee of the entire right, title, and interest in the patent(s)/application(s) identified above by virtue of an assignment from the inventor(s) of the parent application to the patent/application identified above, including all continuation applications therefrom. The assignment of which was recorded in the Patent and Trademark Office on September 7, 2001 at Reel 012161 and Frame 0818.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein are of my own knowledge and are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application of any patent issuing thereon.

Dated: 12/23/02, 2002

By: 
Name: John W. Balbridge
Title: President

DECLARATION Utility Application

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled Biofilm Reduction in Crossflow Filtration Systems the specification of which

(Check One) ☒ is attached hereto OR
☐ was filed on _____ as United States Application Serial No. _____ or PCT International Application No. _____ and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, § 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Date of Filing	Priority Claimed	
			Yes	No

I hereby claim the benefit under Title 35, United States Code §119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s), or § 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application Number	PCT Parent Number	Parent Filing Date	Status-Patented, Pending or Abandoned

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code, § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

201	FULL NAME OF INVENTOR	FIRST Name John	MIDDLE Initial W.	LAST Name Baldrige	
	RESIDENCE & CITIZENSHIP	City Newport Beach	State or Foreign Country CA	Country of Citizenship U.S.A.	
	POST OFFICE ADDRESS	2915 Carob Street	City Newport Beach	State or Country CA	Zip Code 92660
INVENTOR'S SIGNATURE			<i>John W. Baldrige</i>		DATE <i>9/7/01</i>

202	FULL NAME OF INVENTOR	FIRST Name Andrew	MIDDLE Initial	LAST Name Michalow	
	RESIDENCE & CITIZENSHIP	City Mission Viejo	State or Foreign Country CA	Country of Citizenship U.S.A.	
	POST OFFICE ADDRESS	23 Argento Drive	City Mission Viejo	State or Country CA	Zip Code 92692
INVENTOR'S SIGNATURE			<i>Andrew Michalow</i>		DATE <i>9-7-01</i>

203	FULL NAME OF INVENTOR	FIRST Name	MIDDLE Initial	LAST Name	
	RESIDENCE & CITIZENSHIP	City	State or Foreign Country	Country of Citizenship	
	POST OFFICE ADDRESS		City	State or Country	Zip Code
INVENTOR'S SIGNATURE			DATE		

204	FULL NAME OF INVENTOR	FIRST Name	MIDDLE Initial	LAST Name	
	RESIDENCE & CITIZENSHIP	City	State or Foreign Country	Country of Citizenship	
	POST OFFICE ADDRESS		City	State or Country	Zip Code
INVENTOR'S SIGNATURE			DATE		

205	FULL NAME OF INVENTOR	FIRST Name	MIDDLE Initial	LAST Name	
	RESIDENCE & CITIZENSHIP	City	State or Foreign Country	Country of Citizenship	
	POST OFFICE ADDRESS		City	State or Country	Zip Code
INVENTOR'S SIGNATURE			DATE		



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

NOVEMBER 19, 2001

PTAS

LYON & LYON LLP
CHARLES C. FOWLER
633 WEST FIFTH STREET
SUITE 4700
LOS ANGELES, CA 90071-2066



101847746A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 09/07/2001

REEL/FRAME: 012161/0818
NUMBER OF PAGES: 5

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

BALDRIDGE, JOHN

DOC DATE: 09/07/2001

ASSIGNOR:

MICHALOW, ANDREW

DOC DATE: 09/07/2001

ASSIGNEE:

ADVANCED BIOCATALYTICS CORP.
1280 BISON STREET
SUITE B9-51
COSTA MESA, CALIFORNIA 92626

SERIAL NUMBER: 09948457
PATENT NUMBER:

FILING DATE: 09/07/2001
ISSUE DATE:

MARCUS KIRK, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

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09-19-2001

FORM PTO-1595
1-31-92

RECCRDA

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

Docket No. 259/215

101847746

To the Honorable Commissioner of Patents and Trademarks, documents or copy thereof

1. Name of conveying party(ies):

John Baldridge and Andrew Michalow

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other _____Execution Date: September 7, 2001

2. Name and address of receiving party:

Name: Advanced bioCatalytics Corp.

Internal Address: _____

City: _____ State: _____ Zip: _____

Street Address: 1280 Bison Street, Suite B9-51City: Costa Mesa State: CA Zip: 92626Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: September 7, 2001

A. Patent Application No(s).

B. Patent No(s):

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Charles C. FowlerInternal Address: LYON & LYON LLP633 West Fifth Street, Suite 4700Los Angeles, CA 90071-20666. Total number of applications and patents involved: One

7. Total fee (37 CFR 3.41): \$ 40.00

☐ Enclosed☒ Charge this Deposit Account if any additional fee is required8. Deposit Account Number: 12-2475

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Date: September 7, 2001

Charles C. Fowler, Reg No. 39,675

Total number of pages including cover sheet: 3

OMB No. 0651-0011 (exp. 4/94)

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ASSIGNMENT OF PATENT APPLICATION

WHEREAS, WE, John W. Baldrige, a citizen of the United States, residing at 2915 Carob Street, Newport Beach, California 92660 and Andy H. Michalow, a citizen of the United States, residing at 23 Argento Drive, Mission Viejo, California 92692, (hereinafter referred to as "ASSIGNORS"), have invented a Biofilm Reduction in Crossflow Filtration Systems for which application for Letters Patent of the United States of America has been executed on even date herewith; and

WHEREAS, Advanced BioCatalytics Corp., (hereinafter referred to as "ASSIGNEE"), is desirous of acquiring the exclusive right, title and interest in, to and under said invention and in, to and under any Patent or similar legal protection to be obtained therefor in the United States of America, its territorial possessions and in any and all countries foreign thereto.

NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNORS hereby sell, assign, transfer and set over unto the said ASSIGNEE, its successors and assigns, the full and exclusive right, title and interest to said invention and to all Letters Patent or application or similar legal protection, not only in the United States and its territorial possessions, but in all countries foreign thereto, to be obtained for said invention by said application, and to any continuation, division, renewal, substitute or reissue thereof or any legal equivalent thereof in the United States or a foreign country for the full term or terms for which the same may be granted, including all priority rights under the International Convention; and ASSIGNORS hereby authorize and request the Commissioner of

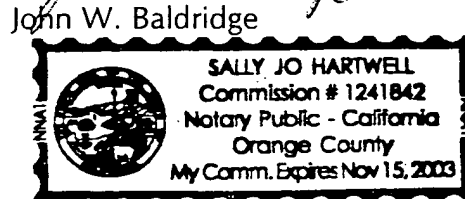
Patents and Trademarks to issue said Letters Patent or any legal equivalent thereof to said ASSIGNEE, its successors and assigns, in accordance with this Assignment.

ASSIGNORS hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this Agreement;

ASSIGNORS further covenant that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said application, said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNORS and will testify as to the same in any interference or litigation related thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents in the United States or in any foreign country, which may be necessary or desirable to carry out the purposes thereof.

WITNESS my hand at Irvine, California, this 7th day of September, 2001.

John W. Baldridge



STATE OF)
COUNTY OF Orange) SS

On 9/7/01 before me, Sally Jo Hartwell personally appeared
John W. Baldridge

☐ personally known to me - OR - ☒ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

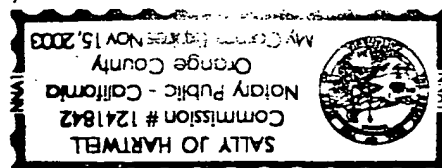
Sally Jo Hartwell
Notary Public in and for said County and State

WITNESS my hand at IRVINE

CALIFORNIA, this 7th day of SEPTEMBER, 2001.

Andy H. Michalow
Andy H. Michalow

STATE OF)
COUNTY OF Orange) ss



On 9/7/01 before me, Sally Jo Hartwell, personally appeared
Andy H. Michalow

☐ personally known to me - OR - ☒ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Sally Jo Hartwell
Notary Public in and for said County and
State

